

PATENT

IFW  
Attorney Docket No. NUCL-002/01US

Application No. 10/762,395

Page 1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Tony GIORDANO *et al.*

Confirmation No.: 4861

Application No.: 10/762,395

Group Art Unit: 1639

Filed: January 22, 2004

Examiner: J. Epperson

For: **Use of Post-Transcriptional Gene Silencing for Identifying Nucleic Acid Sequences that Modulate the Function of a Cell**

Commissioner for Patents  
U.S. Patent and Trademark Office  
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Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97(b)**

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56,  
Applicant(s) hereby submits the following information in conformance with 37 C.F.R. §§1.97  
and 1.98.

- ☒ Pursuant to 37 C.F.R. §1.98, copies of documents 71-556 cited in the attached Form PTO-1449 are enclosed on cd.
- ☐ Copies of the remaining publications listed on the attached Form PTO-1449 are not being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in prior Application Serial Nos.:  
to which the above-identified application claims priority under 35 U.S.C. §120.
- ☐ Copies of documents that were not submitted in the above-mentioned related United States Patent Applications may be found in related United States Patent Application Nos.:  
Should the Examiner be unable to locate a document, a copy will be provided upon request.
- ☒ No copies of any U.S. patents or U.S. patent application publications listed on the attached Form PTO-1449 are being provided pursuant to 37 C.F.R. §1.98.

- ☒ Applicants would also like to bring to the Examiner's attention *Benitec v. Nucleonics* Civil Action No. 04-CV-0174 (JJF) in the U.S. District Court for the District of Delaware. Documents 1-133, 135-143, 145-460 and 462-556 cited herein were first brought to the Applicants' attention in a search of literature related to this action.

**Should the Examiner wish to review any documents in Applicants' possession related to this action, the Examiner is invited to contact the undersigned and any documents requested will be forwarded.**

- ☒ Documents 38, 41, 125, 156, 196, 200, 206, 214, 217, 221, 309, 315, 343, 392 and 509 listed on the attached Form PTO-1449 were cited in an Opposition of EP 1230375 B1.
- ☒ Documents 134, 144 and 461 listed on the attached Form PTO-1449 were cited in a foreign search or examination report corresponding to Korean application serial no. 10-2001-7013385 and mailed on August 8, 2006. This application has inventors in common with the instant application.
- ☐ Enclosed is a copy of a non-English publication(s) \_\_\_\_\_. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s).
- ☐ Enclosed is a copy of a non-English publication(s) \_\_\_\_\_. English language publication \_\_\_\_ (copy enclosed) claims priority from this non-English publication.
- ☒ An English translation of non-English document 551 is attached to the document. US patent 5,788,265, document 51, is being submitted as an English language equivalent of non-English document 107, EP 0 560 156 A2. An English abstract of non-English publications WO 92/19732 A1, WO 95/18223 A1, WO 98/05770 A2 and WO 00/44895 A1, documents 122, 131, 146 and 161 respectively, may be found on the cover page of the publication. An English abstract of non-English publications JP 09-110894 A and JP 09-227413 A, documents 115 and 116 respectively, may be found attached to the publication.
- ☐ The Examiner's attention is directed to related co-pending United States Patent Application Serial Nos.:

This Information Disclosure Statement is filed within any one of the following time periods:

- ☐ within three months from the filing date of this national application other than a CPA under 37 C.F.R. § 1.53(d);
- ☐ within three months from the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in this international application;
- ☒ before the mailing date of a first office action on the merits; or
- ☐ before the mailing of a first office action after the filing of a request for continued examination under 37 C.F.R. § 1.114.


It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Forms PTO-1449 to the undersigned. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 50-1283.

Dated: November 17, 2006

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Respectfully submitted,  
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<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)				<b>Attorney Docket No.</b> NUCL-002/01US		<b>Application No.</b> 10/762,395	
				Applicants: Tony GIORDANO <i>et al.</i>			
PTO Form 1449				Filing Date: January 22, 2004		Group Art Unit: 1639	



U.S. PATENT DOCUMENTS							
Initial	Document No.	Date	Name	Class	Sub-Class	Filing Date	
	1.	US 2002/0086356 A1	07/04/2002	Tuschl <i>et al.</i>			
	2.	US 2002/0114784 A1	08/22/2002	Li <i>et al.</i>			
	3.	US 2002/0168707 A1	11/14/2002	Graham			
	4.	US 2003/0018993 A1	01/23/2003	Gutterson <i>et al.</i>			
	5.	US 2003/0027783 A1	02/06/2003	Zernicka-Goetz			
	6.	US 2003/0036197 A1	02/20/2003	Glassman <i>et al.</i>			
	7.	US 2003/0056235 A1	03/20/2003	Fire <i>et al.</i>			
	8.	US 2003/0061626 A1	03/27/2003	Plaetinck <i>et al.</i>			
	9.	US 2003/0074684 A1	04/17/2003	Graham <i>et al.</i>			
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	11.	US 2003/0165894 A1	09/04/2003	Waterhouse <i>et al.</i>			
	12.	US 2004/0022748 A1	02/05/2004	Ananthapadmanabhan <i>et al.</i>			
	13.	US 2004/0064842 A1	04/01/2004	Graham <i>et al.</i>			
	14.	US 2004/0138168 A1	07/15/2004	Satishchandran <i>et al.</i>			
	15.	US 2004/0180439 A1	09/16/2004	Graham <i>et al.</i>			
	16.	US 2004/0237145 A1	11/25/2004	Graham <i>et al.</i>			
	17.	US 2004/0266005 A1	12/30/2004	Graham <i>et al.</i>			
	18.	US 2005/0250208 A1	11/10/2005	Graham <i>et al.</i>			
	19.	US 2006/0014715 A1	01/19/2006	Graham <i>et al.</i>			
	20.	US 3,931,397	01/06/1976	Harnden			
	21.	US 4,130,641	12/19/1978	Ts'o <i>et al.</i>			
	22.	US 4,283,393	08/11/1981	Field <i>et al.</i>			
	23.	US 4,469,863	09/04/1984	Ts'o <i>et al.</i>			
	24.	US 4,605,394	08/12/1986	Skurkovich			
	25.	US 4,766,072	08/23/1988	Jendrisak <i>et al.</i>			
	26.	US 5,024,938	06/18/1991	Nozaki <i>et al.</i>			
	27.	US 5,034,323	07/23/1991	Jorgensen <i>et al.</i>			
	28.	US 5,107,065	04/21/1992	Shewmaker <i>et al.</i>			
	29.	US 5,173,410	12/22/1992	Ahlquist			
	30.	US 5,190,931	03/02/1993	Inouye			
	31.	US 5,208,149	05/04/1993	Inouye			
	32.	US 5,231,020	07/27/1993	Jorgensen <i>et al.</i>			
	33.	US 5,272,065	12/21/1993	Inouye <i>et al.</i>			

Examiner	Date Considered
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**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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<b>U.S. PATENT DOCUMENTS</b>									
Initial	Serial No.	Document No.	Date	Name	Class	Sub-Class	Filing Date		
	34.	US 5,283,184	02/01/1994	Jorgensen <i>et al.</i>					
	35.	US 5,365,015	11/15/1994	Grierson <i>et al.</i>					
	36.	US 5,453,566	09/26/1995	Shewmaker <i>et al.</i>					
	37.	US 5,514,546	05/07/1996	Kool					
	38.	US 5,578,716	11/26/1996	Szyf <i>et al.</i>					
	39.	US 5,583,021	12/10/1996	Dougherty <i>et al.</i>					
	40.	US 5,624,803	04/29/1997	Noonberg <i>et al.</i>					
	41.	US 5,631,148	05/20/1997	Urdea					
	42.	US 5,643,762	07/01/1997	Ohshima <i>et al.</i>					
	43.	US 5,683,985	11/04/1997	Chu <i>et al.</i>					
	44.	US 5,686,649	11/11/1997	Chua <i>et al.</i>					
	45.	US 5,691,140	11/25/1997	Noren <i>et al.</i>					
	46.	US 5,693,773	12/02/1997	Kandimalla <i>et al.</i>					
	47.	US 5,714,323	02/03/1998	Oshima <i>et al.</i>					
	48.	US 5,739,309	04/14/1998	Dattagupta <i>et al.</i>					
	49.	US 5,747,338	05/05/1998	Giese <i>et al.</i>					
	50.	US 5,795,715	08/18/1998	Livache <i>et al.</i>					
	51.	US 5,798,265	08/25/1998	Springer <i>et al.</i>					
	52.	US 5,808,036	09/15/1998	Kool					
	53.	US 5,814,500	09/29/1998	Dietz					
	54.	US 5,850,026	12/15/1998	DeBonte <i>et al.</i>					
	55.	US 5,874,555	02/23/1999	Dervan <i>et al.</i>					
	56.	US 5,908,779	06/01/1999	Carmichael <i>et al.</i>					
	57.	US 5,972,704	10/26/1999	Draper <i>et al.</i>					
	58.	US 5,998,383	12/07/1999	Wright <i>et al.</i>					
	59.	US 6,010,908	01/04/2000	Gruenert <i>et al.</i>					
	60.	US 6,022,863	02/08/2000	Peyman					
	61.	US 6,054,299	04/25/2000	Conrad					
	62.	US 6,133,024	10/17/2000	Helene <i>et al.</i>					
	63.	US 6,291,504	09/18/2001	Nugiel <i>et al.</i>					
	64.	US 6,369,038	04/09/2002	Blumenfeld <i>et al.</i>					
	65.	US 6,372,965	04/16/2002	Lightner <i>et al.</i>					
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Initial		Document No.	Date	Name	Class	Sub-Class	Filing Date		
	66.	US 6,423,885	07/23/2002	Waterhouse <i>et al.</i>					
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	68.	US 6,531,647	03/11/2003	Baulcombe <i>et al.</i>					
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	70.	US 6,635,805	10/21/2003	Baulcombe <i>et al.</i>					
	71.	US 09/646,807	Not Published	Graham <i>et al.</i>					
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	73.	US 60/130,377	Not Published	Pachuk <i>et al.</i>					
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	74.	AU 200195225 A1	01/31/2002	Australia					
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	79.	DE 199 03 713.2	Not Published	Germany					
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	84.	EP 0 281 380 A2	09/07/1988	Europe					
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	93.	EP 0 306 347 A2	03/08/1989	Europe					
	94.	EP 0 306 347 A3	10/03/1990	Europe					
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	96.	EP 0 308 066 A2	03/22/1989	Europe					
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	117.	WO 90/11682 A1	10/18/1990	WIPO					
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	122.	WO 92/19732 A1	11/12/1992	WIPO			No		
	123.	WO 93/17098 A1	09/02/1993	WIPO					
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	125.	WO 94/01550 A1	01/20/1994	WIPO					
	126.	WO 94/17194 A1	08/04/1994	WIPO					
	127.	WO 95/03406 A2	02/02/1995	WIPO					
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	<b>Page 5 of 34</b>	
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		Document No.	Date	Country	Class	Sub-Class	Translation
	128.	WO 95/03406 A3	09/14/1995	WIPO			
	129.	WO 95/10607 A1	04/20/1995	WIPO			
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	158.	WO 99/53050 A1	10/21/1999	WIPO			
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	160.	WO 00/01846 A2	01/13/2000	WIPO			
	161.	WO 00/44895 A1	08/03/2000	WIPO			No

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	162.	WO 01/04313 A1	01/18/2001	WIPO					
	163.	WO 01/29058 A1	04/26/2001	WIPO					
	164.	WO 01/36646 A1	05/25/2001	WIPO					
	165.	WO 01/48183 A2	07/05/2001	WIPO					
	166.	WO 01/48183 A3	12/06/2001	WIPO					
	167.	WO 01/70949 A1	09/27/2001	WIPO					
	168.	WO 01/88114 A2	11/22/2001	WIPO					
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	170.	WO 02/044321 A2	06/06/2002	WIPO					
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	172.	WO 03/006477 A1	01/23/2003	WIPO					
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	174.	WO 03/027298 A1	04/03/2003	WIPO					
	175.	WO 03/056012 A1	07/10/2003	WIPO					
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	176.	"somatic cell," on-line medical dictionary, <a href="http://cancerweb.ncl.ac.uk/cgi-bin/">http://cancerweb.ncl.ac.uk/cgi-bin/</a> (January 2006).							
	177.	Agrawal <i>et al.</i> , "Antisense therapeutics: is it as simple as complementary base recognition?" <i>Molecular Medicine Today</i> 6:72-81 (2000).							
	178.	Agrawal <i>et al.</i> , "RNA Interference: Biology, Mechanism, and Applications" <i>Microb. Mot. Biol. Rev.</i> 67:657-685 (2003).							
	179.	Agrawal <i>et al.</i> , "Self-Stabilized Oligonucleotides as Novel Antisense Agents," in <u>Delivery Strategies: antisense oligonucleotide therapeutics</u> , Ahktar <i>et al.</i> , Eds., pp. 105-121 CRC Press, Inc., Boca Raton, Florida (1995).							
	180.	Agrawal, "Antisense oligonucleotides: towards clinical trials," <i>TIBTECH</i> 14: 376-387 (1996).							
	181.	Akgun <i>et al.</i> , "Palindrome Resolution and Recombination in the Mammalian Germ Line", <i>Mol. Cell. Biol.</i> 17: 5559-5570 (September 1997).							
	182.	Akhtar <i>et al.</i> , "Anti-HIV therapy with antisense oligonucleotides and ribozymes: realistic approaches or expensive myths?" <i>J. Antimicrob. Chemother.</i> 38: 159-165 (1996).							
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<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)</b>				
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